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CHAIR

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MEMBER

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MEMBER

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MEMBER

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MEMBER

October 26, 2016

Fiscal Year 2017 Internal Auditor: Request for Proposal

Scope of Services:

The State Securities Board is seeking requests for proposal from independent audit entities for purposes of conducting an independent audit in accordance with Chapter 2102 of the Government Code for fiscal year 2017. The audit will include the examination and evaluation of the adequacy and effectiveness of the agency's systems and controls as well as the quality of performance in carrying out assigned responsibilities. The area(s) to be audited will be determined by the selected audit firm based on the firm's risk assessment protocols. Generally, the internal auditor will develop an audit plan and execute the plan covering 1-2 functions annually. The audit plan is subject to approval by the agency's Board.

Information about the agency can be accessed at www.ssb.texas.gov.

Dollar Amount of Proposed Services:

Not to exceed \$25,000.

Duties of Internal Auditor:

The duties of the internal auditor include: reporting to the Board's audit committee; developing an annual audit plan; conducting audits as specified in the approved audit plan and documenting deviations; preparing audit reports; and conducting quality assurance reviews in accord with professional standards as provided by Section 2102.011 of the Government Code.

Additional responsibilities of the internal auditor include attending agency Board Meetings, as necessary, and filing the final, approved audit report with governmental bodies as required by Section 2102.0091 of the Government Code.

Internal Auditor Minimum Requirements:

The internal auditor must be a certified public accountant or a certified internal auditor and have at least three (3) years auditing experience.

Proposal Submission and Review Process:

To be considered, proposals must be received by the agency on or before **5:00 PM, CST, November 22, 2016**. Proposals received by this deadline will be reviewed by the

Board's Audit Committee. The Audit Committee will recommend the internal auditor for approval to the Board at a subsequent public Board Meeting.

“Best Value” Review and Recommendation:

The Audit Committee recommendation will be based on price and best value considerations referenced in Sections 2155.074 and 2156.007 of the Government Code.

Proposal Submission:

Proposal submissions may be delivered by Email or mail to:

Email: tiles@ssb.texas.gov

Mail: Texas State Securities Board
c/o Travis J. Iles, Deputy Commissioner
208 E. 10th Street, Room 610
Austin, Texas 78701